

7-1-2016

2.6 Promotion and Tenure

Saint Mary's College of California

Follow this and additional works at: <http://digitalcommons.stmarys-ca.edu/faculty-handbook>

Recommended Citation

Saint Mary's College of California (2016) "2.6 Promotion and Tenure," *Faculty Handbook*: Vol. 2016 , Article 19.
Available at: <http://digitalcommons.stmarys-ca.edu/faculty-handbook/vol2016/iss1/19>

This Main Text is brought to you for free and open access by the SMC Handbooks at Saint Mary's Digital Commons. It has been accepted for inclusion in Faculty Handbook by an authorized editor of Saint Mary's Digital Commons. For more information, please contact digitalcommons@stmarys-ca.edu.

2.6 PROMOTION AND TENURE

2.6.1 STATEMENT ON CRITERIA FOR PROMOTION AND TENURE

Faculty members at Saint Mary's College are participants in an intellectual, social, and spiritual community committed to ensuring that the College be an outstanding Catholic institution of higher education, dedicated to developing students' capacities for responsible independent thought, spiritual growth, active citizenship, and a productive life. Faculty members are retained and promoted for their skillful, dedicated teaching, scholarly vitality, and their effective service to the College community. Overarching and informing each of the criteria of teaching, scholarship and service must be the demonstrated commitment of faculty to the aims and ideals of the College, taking into consideration the nature, purposes and goals of specific programs. The Mission Statement of the College and the statement on the faculty of the College (see sections 1.1 Saint Mary's College Mission Statement and 1.2 History of Saint Mary's College) set forth the aims and ideals by which the faculty is challenged to guide its actions.

The successful pursuit of promotion and tenure thus requires serious engagement in a wide range of activities. Faculty members should make long-range plans for their own professional development to ensure that they meet the appropriate criteria. What follows is not a checklist, but rather a suggestion of general guidelines for evaluation.

Teaching Effectiveness

Teaching effectiveness is founded upon a clear command of subject matter, the skillful transmittal of knowledge, inspiring and fostering an active love of learning, and the communication of appropriate, high expectations of student performance. Because teaching is a profoundly human exchange between faculty and student, it requires interpersonal skills, organizational abilities, and a commitment to serve students in a respectful and honest manner. It is the responsibility of faculty members to present clear evidence of their teaching effectiveness. The College recognizes several ways in which this can happen:

1. The development of courses appropriate to a faculty member's major field, the general education program of the College, and special curricular initiatives. Courses should reflect coherence, unity, and an appropriate balance between engaging a subject matter in depth and addressing the broad aims of a liberal education.
2. Conscientious preparation for classes. Course syllabi and assignments should reflect clearly defined academic objectives, expectations and standards. In the preparation of courses, teachers should hold before themselves the best scholarly standards of their disciplines. They should demonstrate current knowledge of the subject matter and its methodology, and creativity in the formulation of the syllabus.
3. Promoting intellectual stimulation and providing challenging learning experiences. Teachers are expected to be skilled in various modes of instruction. The teacher should communicate that understanding derives from an open mind, hard work, and rigorous thinking. Students should experience the rewards of commitment and self discipline in the pursuit of knowledge.
4. Clearly defined and appropriate means of assessing student learning. Through evaluation procedures and grading policies, teachers should communicate that excellence requires not only intellectual curiosity and originality, but also the practice of the rigors and discipline of learning.

5. Critical self-evaluation. Through their response to student evaluations, peer reviews, administrative reviews, and self-checks, faculty members should demonstrate their capacity to improve as teachers. Faculty members being considered for promotion should have their teaching observed by their chair or program director at least once per term. Faculty moving toward tenure should be observed at least twice per term by ranked faculty members (at least once by their chair or program director).

Scholarly Interests and Pursuits

Saint Mary's College recognizes that intellectual growth and scholarly activity are closely related both to each other and to teaching effectiveness. Respecting the teaching mission of the College, Saint Mary's recognizes that faculty fulfill their responsibilities primarily through the teaching programs and curricula of the College. Scholarship aims not only at expanding the store of knowledge in the disciplines or in an interdisciplinary field, but also at enlightening the lives of our students with that knowledge as well as with the challenges and joys of its pursuit. Within areas of specialization, scholarly activity manifests itself in formal and concrete ways that help keep alive and current the skills indigenous to one's academic discipline. Scholarly activity and intellectual growth should be broadly defined, yet specifically demonstrated in order to be evaluated fairly and effectively. The demonstration of scholarly activity should include some form of public presentation and external peer review. The broad view recognizes the purposes of scholarship as:

1. Contributing to new knowledge and understanding in a basic discipline or field, including its pedagogy;
2. Developing greater expertise in one's discipline or in a related field of study;
3. Providing new insights into the connections between the disciplines and into the historical and philosophical underpinnings of one's area of expertise;
4. Enriching the intellectual lives of students by involving them as collaborators with faculty in original research;
5. Researching, developing and assessing new pedagogies and curricula (engaging in the scholarship of teaching and learning.)

It is the responsibility of faculty to present clear and public evidence of their scholarly performance and achievement. Since academic departments at Saint Mary's College are relatively small, review by academic colleagues outside the College is of some importance at each rank in maintaining a connection to the field and to academic colleagues with expertise in the specific area of inquiry. The forms which this presentation may take include, but are not limited to:

1. Delivery of research papers or lectures;
2. Awards for scholarly achievement;
3. Creative achievement in the arts;
4. Acceptance to competitive structured programs of post-graduate study beyond that required for the terminal degree in one's field;
5. Published research through books, articles, reviews, and reports;

6. Activities related to professional practice where the faculty member's expertise or contribution can be evaluated. These activities represent the acquisition of significant knowledge or originality in the application of knowledge. Thus the College also recognizes the following evidence:
 - a. Professional papers or reports, published or unpublished, which result from and/or describe consultancies;
 - b. Courses or workshops, taught on a consultant basis or at Saint Mary's College, which demonstrate the faculty member's growth as a professional or increase his/her learning, expertise or skill;
 - c. Participation in professional meetings, panels or workshops.
7. Other evidence that the faculty member has earned a sound professional reputation among academic colleagues outside the College.

Service to the College

A living commitment to our three-fold Mission calls for effective service to our students, our colleagues and the College: that service is both a privilege and a responsibility. Because we value broad representation of faculty (wherever possible) in the College's activities, and because the contribution of all members is required to sustain the community, we expect dedicated and effective service from every member of our community. We are especially committed to serving the full development of our students.

Expected service includes:

1. Conscientious and effective advising of students;
2. Participation in the work of departments, programs, and Schools, and in the governance of the College, for which service on School-wide and College-wide committees is one important element.
3. Attendance at departmental and committee meetings, general Academic Senate meetings, Commencement and other special convocations.

Service can also include (but is not limited to) the following activities:

1. Participation in co-curricular activities such as peer mentoring, student club and athletic team advising, and the production of campus-wide events;
2. Participation in activities inside the College such as colloquia, fora, public lectures, reading and study groups, which foster the intellectual community, institutional identity, and interschool/ interdisciplinary collaboration;
3. Helping to train and mentor new faculty;
4. Non-scholarly service to the larger intellectual, professional, and/or Lasallian community;
5. Service to the larger community in keeping with the College's Lasallian traditions and concern for social justice.

It is the responsibility of faculty to present clear evidence of their effective service to the College. Faculty service should be shared by all.

2.6.1.1 Additional Criteria

Tenure: In addition to the criteria cited above, the following are included in view of the nature of tenure:

1. The needs of the College and the department;
2. The possession of the doctorate or other appropriate terminal degree, or its equivalent;
3. A special emphasis on the contribution and commitment to the aims and ideals of the College, and an active interest in the quality of the curriculum and the ability to work well with colleagues.
4. Exceptional appointments: For appointments with tenure, in addition to the tenure criteria, the following special criteria apply:
 - a. evidence of very high level of teaching effectiveness and continued development of teaching expertise; and
 - b. evidence of highly effective service to his/her college/university community in and beyond the level of the department; and
 - c. evidence of superior scholarly achievement, evidenced at least in part by peer review and public presentation among academic colleagues outside the College; and
 - d. an active interest in the quality of the curriculum and clear evidence of the ability to work productively with colleagues.

Promotion: The following special criteria apply to various ranks:

1. Assistant Professor
 - a. possession of the doctorate or other appropriate terminal degree or its equivalent is normally expected.
 - b. a promise of teaching effectiveness, scholarly achievement, and effective service (see section 2.6.1 Statement on Criteria for Promotion and Tenure).
2. Associate Professor
 - a. possession of the doctorate, other appropriate terminal degree, or its equivalent ;
 - b. evidence of teaching effectiveness, scholarly achievement, and effective service (see section 2.6.1 Statement on Criteria for Promotion and Tenure);
 - c. since the rank usually accompanies tenure, note criteria for tenure above.
 - d. in cases where the faculty member is being considered at the same time for tenure and promotion to Associate Professor and is awarded tenure at that time, the decision to award tenure will also result in a concurrent promotion to the rank of Associate Professor.
3. Full Professor
 - a. completion of a Pre-Professor Interim Review (section 2.6.2.2.2(2));
 - b. possession of the doctorate, other appropriate terminal degree, or its equivalent;
 - c. high level of teaching effectiveness and continued development of teaching expertise, and
 - d. evidence of highly effective service to the College community in and beyond the level of the department, and
 - e. significant scholarly achievement, evidenced at least in part by peer review and public presentation among academic colleagues outside the College, and

- f. a special emphasis on the contribution and commitment to the aims and ideals of the College, an active interest in the quality of the curriculum and the ability to work productively with colleagues.

Note: The President and the Provost, at their respective levels of review for promotion and tenure, will review the candidate's complete personnel file to ascertain if, during the time in which the candidate has been employed at the College, there has been a determination of violation of the College's non-discrimination and/or retaliation policies, including but not limited to the College's policy prohibiting sexual harassment. If such a violation has been found, the President and the Provost may take that finding into account when making a final decision regarding the faculty member's candidacy for promotion and/or tenure and will provide written explanation to the faculty member in question if there is a negative ruling resulting from such a review.

2.6.2 PROCEDURES FOR PROMOTION AND TENURE

2.6.2.1 Eligibility

It is the responsibility of the faculty member to keep track of the schedule of Rank and Tenure reviews, and to keep those involved in the Rank and Tenure process apprised of an appropriate address and telephone number during the deliberation of the Rank and Tenure Committee and the considerations of the Provost. As a matter of courtesy, on or before June 15 of each year the Provost shall remind each person eligible for promotion or tenure. Those persons who are to be considered shall submit to the chair of the Rank and Tenure Committee, on or before August 15 for interim review and on or before October 15 for promotion, tenure, or pre-Professor review, the appropriately completed forms and whatever other information they deem important to the consideration of their cases (statements of activities, publications, honors, etc.).

2.6.2.1.1 Interruption of the Probationary Tenure-Track Period

Tenure-track faculty members have the option of interrupting the probationary period – “stopping the tenure-track clock” – up to a total of two one-year periods for conditions covered by the Family Medical Leave Act or the California Family Rights Act or the Pregnancy Disability Leave, whether or not leave is actually taken.

Stopping the clock under this provision will not be considered a matter for special negotiation, but will be initiated via written notification by the faculty member to the Provost, with copies to the member's Department Chair and Dean. The option of stopping the tenure clock will be independent of a request for Protected Leave (see 2.13.2.1 Family and Medical Leave Act of 1993/California Family Rights Act) or any other leave. The tenure clock will normally be stopped any time during the academic calendar before the submission deadline for the Form A upon request in writing by the faculty member, and will be restarted automatically with the next year's deadline for the Form A. Tenure decisions will not be affected by the interruption of the probationary period (i.e., there will be no changed/higher expectations). The Provost will respond to the faculty member, with copies to the faculty member's department chair and dean, indicating how the tenure schedule has been adjusted.

2.6.2.1.2 Promotion

Faculty members will be considered for promotion in the year in which they reach the top step for their rank. They may choose to apply one year before they reach the top step for their rank, or they may choose to defer consideration for promotion until the first or second year after they reach the top step of their rank. Faculty must be considered for promotion in one of those four

years. If promotion is denied, any subsequent request for said promotion is at the option of the faculty member; the application must adhere to the procedure described in section 2.6.2.2.3 (Promotion and Tenure Reviews (effective July 1, 2009)).

2.6.2.1.3 Tenure

The normal length of probationary tenure-track letters of appointment is one year; all such letters of appointment are eligible for consideration for annual renewal. The total length of the probationary tenure-track period at the College will not exceed seven years. Faculty appointed to a probationary tenure-track position normally will have up to a maximum three years of prior experience recognized toward tenure. In exceptional circumstances a candidate can be appointed with tenure, or with four, five, or six years toward tenure.

Scholarly leave of absence for one year or less will count as part of the probationary period except in the case where a faculty member already has been granted the maximum years towards tenure (three). In this case whether or not the scholarly leave of absence will count as part of this probationary period is subject to prior approval by the Provost. See Section 2.6.2.1.1 (Interruption of the Probationary Tenure-Track Period) for further information about interrupting the probationary period.

Tenured appointments are permanent appointments that may be terminated under conditions noted in Section 2.8.5 (Termination of an Appointment by the College), with the burden of proof resting upon the College.

2.6.2.2 Faculty, Department and School Procedures

There are three distinct types of review: promotion, tenure, and interim reviews. In a given year a faculty member moving toward promotion and tenure can have overlapping reviews. In all cases, it is the faculty member's responsibility to be knowledgeable about his/her schedule for review. Department/School interim reviews, Rank and Tenure interim reviews, and tenure reviews occur according to the length of the candidate's in-residence probationary period. Promotion reviews occur according to the candidate's placement on the salary scale (see section 2.6.2.1.2 Promotion).

Interim and Tenure Review Cycle by Length of In-Residence Probationary Period

	Seven Years (No years granted toward tenure)	Six Years (One year granted toward tenure)	Five Years (Two years granted toward tenure)	Four Years (Three years granted toward tenure)
1	No Review			
2.	Dept/School Interim Review	No Review		
3.	Rank & Tenure Interim Review	Rank & Tenure Interim Review	Rank & Tenure Interim Review	
4.	Rank & Tenure Interim Review	Rank & Tenure Interim Review	Rank & Tenure Interim Review	Rank & Tenure Interim Review
5.	Rank & Tenure Interim Review	Rank & Tenure Interim Review	Rank & Tenure Interim Review	Rank & Tenure Interim Review
6.	Rank & Tenure Tenure Review	Rank & Tenure Tenure Review	Rank & Tenure Tenure Review	Rank & Tenure Tenure Review
7.	Terminal year, if necessary	Terminal year, if necessary	Terminal year, if necessary	Terminal year, if necessary
Note: The timing of promotion reviews by the Rank and Tenure Committee depends upon the candidate's initial placement on the salary scale (see section 2.6.2.1.2 Promotion)				

Document Requirements

All original documents from all parties should be directed to the Office of Academic Affairs so they may be placed in the Rank and Tenure file.

Candidates should send copies of their self-evaluations for interim review, and Form A for tenure and promotion reviews to the department chairs/program directors and academic Deans of the Schools in those areas in which the candidate teaches more than one course per year; chairs and program directors should send copies of their evaluations to their Deans.

2.6.2.2.1 Interim Reviews Conducted by the Department/Program/School

1. The interim review process provides the candidate, the department, the School, the Rank and Tenure Committee, and the Provost with the opportunity for adequate consideration over a reasonable period of time. All faculty moving toward promotion or tenure will have periodic reviews. There are two kinds of interim reviews, those conducted by the department/program/School (this section) and those conducted by the Rank and Tenure Committee (see section 2.6.2.2.2 Interim Reviews Conducted by the Rank and Tenure Committee). It is the faculty member's responsibility to be knowledgeable about his/her schedule for interim reviews.
 - a. All probationary candidates shall be reviewed by their department/ program/School

in the year(s) prior to the interim reviews conducted by the Rank and Tenure Committee. The department/program/School reviews occur according to the length of the candidate's in-residence probationary period. (See chart in section 2.6.2.2 Faculty, Department and School Procedures.)

b. Exceptions to the interim review schedule are to be granted only by the Provost in consultation with the Rank and Tenure Committee.

c. Department chairs and program directors shall complete these reviews on or before September 15.

2. The chairperson or program director is responsible for conducting department/program interim reviews of probationary candidates whose primary responsibilities lie in that department or program. If the chairperson or program director is not tenured nor on the Rank and Tenure roster, then a tenured member of the department or program shall be selected by the Dean of the School, after consultation with the tenured members of the department or program, to carry out interim reviews. If no tenured faculty exist, then the Dean, after consultation with the tenured members of the School, shall select a tenured member of the School to carry out the interim reviews. In either case the faculty member assuming these duties will receive appropriate compensation or reassigned time. The chairperson or director is charged with preparing a thorough written review of the candidate's performance in each criterion area (see section 2.6.1 Statement on Criteria for Promotion and Tenure), which shall be provided to the faculty member and the Dean. A review shall include class visitations, formal consultation with other members of the department or program, including all ranked members, a thoughtful assessment of the candidate's scholarly plans and achievements and his/her service to the College, and a recommendation on reappointment or termination. In cases where the chairperson or program director, in formal consultation with ranked members of the department or program, does not recommend reappointment, the Dean of the School shall review the case and send it on to the Rank and Tenure Committee along with his/her own written recommendation, as prescribed in procedure 5 below.
3. A department chairperson or director of a program will solicit a letter from any other chairperson or director of a program in whose department or program the faculty member being reviewed has taught more than one course during each of the last three years (see sections 1.4.2.2.1 Dean of the School and 2.6.1.1 Additional Criteria).
4. A Dean of a School is responsible for ensuring that interim review procedures are correctly applied at the School level for all faculty whose primary responsibilities lie in a department of that School. A Dean of a School is not required to evaluate faculty whose primary responsibilities lie in a department outside the School, but who teach in the School.
5. In the case of an interim review of a probationary candidate conducted by the department chairperson or program director: If a Dean of a School concurs with the recommendation for reappointment, he/she shall inform the Provost and the chair of the Rank and Tenure Committee in writing on or before October 1 (3rd year), October 10 (4th year), October 20 (5th year); if the Dean of a School disagrees with the recommendation of reappointment, or agrees with the recommendation of termination, or disagrees with the recommendation of termination, the Dean shall send to the Rank and Tenure Committee, on or before October 1 (3rd year), October 10 (4th year), October 20 (5th year), the written recommendation of the department chairperson or program director together with his/her own written recommendation, stating the reasons for agreeing or disagreeing with the departmental recommendation. The Rank

and Tenure Committee shall consider all evidence before making its recommendation, on or before December 15, to the Provost.

2.6.2.2.2 Interim Reviews Conducted by the Rank and Tenure Committee

1. *Probationary tenure-track candidates.* Interim reviews by the Rank and Tenure Committee shall occur for all probationary tenure-track professors who will be considered for tenure in either of the two years following appointment. (See chart in section 2.6.2.2 Faculty, Department and School Procedures.)
2. *Pre-Professor Interim Review.* A faculty member who is tenured but has yet to be considered for Full Professor must have a pre-professor interim review after tenure before being considered for Full Professor. It is the responsibility of the faculty member to complete this review at least one year before seeking promotion to Full Professor. A faculty member seeking promotion to Full Professor at the same time as tenure must in the Form A process address the additional criteria for promotion to Full Professor that go beyond those required for tenure alone; this means that in the prior year, this faculty member must complete a Pre-Professor review as part of the interim review process for tenure.
3. On or before June 15 of each year, the Provost shall remind faculty members of their impending reviews. Those persons to be considered for interim review, except pre-Professor, shall submit to the chair of the Rank and Tenure Committee, on or before August 15, whatever self-evaluation and appropriate information they deem important to the consideration of their cases (statements of activities, publications, honors, etc.). Those persons to be considered for pre-Professor review shall submit these materials to the chair of the Rank and Tenure Committee, on or before October 15. The candidate shall remind all chairpersons and program directors in which areas, departments, programs the candidate has taught of their responsibilities to provide their evaluations of the candidate to the chair of the Rank and Tenure Committee.
4. The chairpersons, program directors, and Deans shall then submit letters of evaluation for interim review candidates, to the chair of the Rank and Tenure Committee, on or before September 15 for department chairs and program directors, and on or before October 1 (3rd year), October 10 (4th year), October 20 (5th year). Letters of evaluation for pre-Professor review candidates shall be submitted to the chair of the Rank and Tenure Committee and to the appropriate Dean by department chairs and program directors, on or before December 1, and by Deans on or before January 15.
5. The chairperson or program director is responsible for conducting department/program interim reviews of probationary candidates whose primary responsibilities lie in that department or program. If the chairperson or program director is not tenured nor on the Rank and Tenure roster, then a tenured member of the department or program shall be selected by the Dean of the School, after consultation with the tenured members of the department or program, to carry out interim reviews. If no tenured faculty exist, then the Dean, after consultation with the tenured members of the School, shall select a tenured member of the School to carry out the interim reviews. In either case the faculty member assuming these duties will receive appropriate compensation or reassigned time. The chairperson or director is charged with carrying out a thorough review of the candidate's performance in each criterion area (teaching, scholarship, service). A review shall include class visitations, formal consultation with other members of the department or program, including all ranked members, a thoughtful assessment of the candidate's scholarly plans and achievements and his/her service to the College, and a recommendation on reappointment

or termination. In addition, a department chairperson or director of a program is responsible for those interim review procedures dealing with teaching effectiveness, the needs of the College and the department, the quality of the curriculum, and the ability to work well with colleagues at the departmental level for all faculty who have taught more than one course in the department during each of the last three years (see section 1.4.2.4.1 Departmental Organization).

6. A Dean of a School is responsible for ensuring that interim review procedures are correctly applied at the School level for all faculty whose primary responsibilities lie in a department of that School (see section 1.4.2.2.1 Dean of the School). Unless requested by the Rank and Tenure Committee, a Dean of a School is not required to evaluate faculty whose primary responsibilities lie in a department outside the School, but who teach in the School.

2.6.2.2.3 Promotion and Tenure Reviews (effective July 1, 2009)

1. On or before June 15 of each year, the Provost shall provide a written reminder to faculty members of their impending reviews. Those persons to be considered shall submit to the chair of the Rank and Tenure Committee, on or before August 15 for interim review, and on or before October 15 for promotion, tenure, or pre-Professor progress reviews, whatever self-evaluation and appropriate information they deem important to the consideration of their cases (statements of activities, publications, honors, etc.). A faculty member who has previously been denied promotion and who wishes to be considered for promotion in the current year, must inform the Provost no later than July 15.
2. On or before July 15 of each year, the Provost shall provide a written reminder to the Deans of the Schools and the chairpersons of departments or directors of programs of the names of their faculty members who are to be considered for promotion or tenure. The chairpersons so notified shall then submit to the chair of the Rank and Tenure Committee, on or before September 15 for interim reviews, and on or before December 1 for promotion, tenure, or pre-Professor progress reviews, the appropriately completed forms and whatever other information they deem important to the consideration of their faculty members. The Deans so notified shall then submit to the chair of the Rank and Tenure Committee, on or before October 1 (3rd year), October 10 (4th year), October 20 (5th year) for interim reviews, and on or before December 15 for promotion, tenure, and pre-Professor progress reviews, a letter of recommendation and whatever other information they deem important to the consideration of their faculty members.
3. The chairperson or program director is responsible for conducting departmental/program promotion and tenure reviews of candidates whose primary responsibilities lie in that department or program (see sections 1.4.2.4.1 Dean of the School). If the chairperson or program director is not tenured nor on the Rank and Tenure roster, then a tenured member of the department or program shall be selected by the Dean of the School, after consultation with the tenured members of the department or programs, to carry out interim reviews. If no tenured faculty exist, then the Dean, after consultation with the tenured members of the School, shall select a tenured member of the School to carry out the reviews. In either case the faculty member assuming these duties will receive appropriate compensation or reassigned time. In addition, a department chairperson or director of a program is responsible for reviewing all other faculty who have taught in the department or program during the last four years and who are being considered (see section 1.4.2.4.1 Dean of the School).
4. A Dean of a School is responsible for promotion and tenure review at the School level for

all faculty whose primary responsibilities lie in a department or program of that School. Unless requested by the Rank and Tenure Committee, a Dean of a School is normally not required to evaluate faculty whose primary responsibilities lie in a department or program outside the School, but who teach in the School.

5. On or before June 15 of each year, the Provost shall distribute to the academic community a draft electronic roster of all Rank and Tenure faculty, including a list of those persons who are to be considered for promotion or tenure.

Form A is to be submitted by candidates for promotion or tenure. Form A asks the candidate for promotion or tenure to address the appropriate criteria listed in this *Faculty Handbook*, and to provide supporting evidence. Form B is to be submitted by the candidate's departmental or program chair. Form B asks the candidate's department or program chair to address the candidate's credentials in light of the *Handbook* criteria, to consider the assessments of the candidate's departmental or program colleagues, and to make a departmental recommendation. In addition to the departmental evaluation contained in the Form B, individual members of the greater academic community – SMC administrators, faculty, or staff, or colleagues from external institutions – may also submit to the chair of the Rank and Tenure Committee, by December 15, letters of evaluation. Any such letters received by the Dean of the School, department chairperson, or Student Rank and Tenure Committee should be forwarded immediately to the chair of the Rank and Tenure Committee to be placed in the candidate's confidential Rank and Tenure file. Individual letters received from on-campus sources (e.g., current faculty or staff, emeriti faculty, current students, etc.) will be accessible to candidates undergoing review, along with the Form B, the dean letter, and the recommendation from the Student Rank and Tenure Committee. Individual letters received from off-campus sources (e.g., colleagues at other academic institutions) will not be accessible to candidates undergoing review.

The calendar dates listed below indicate deadlines for submission of important materials for promotion, tenure, pre-Professor progress, and interim reviews conducted by the Rank and Tenure Committee. These dates have been established in order to allow for an orderly, efficient, and timely deliberation process for the Rank and Tenure Committee and the candidates for review. In particular, these dates have been established to provide useful and formative advice for interim review candidates and timely notification for promotion and tenure candidates.

Faculty should treat the due dates as firm, non-negotiable deadlines. If a candidate for review anticipates a delay in the submission of evaluation materials, then the chair of the Rank and Tenure Committee should be notified in writing prior to the calendar deadline. Candidates who submit materials late may, as a consequence, receive delayed notification from the Rank and Tenure Committee regarding formative advice or promotion or tenure recommendations.

The Rank and Tenure Committee, Provost, and President will endeavor to complete their work consistent with the schedule outlined in the calendar. These dates should not be interpreted as guaranteed by the candidates. Therefore, a missed deadline by the Rank and Tenure Committee, Provost, or President is not an event subject to Grievance (see section 2.16 Grievance). The President will notify candidates in writing of any significant delay in the decision process.

On or before:	
June 15	<ul style="list-style-type: none"> ● Draft Rank and Tenure Roster is distributed electronically. ● Rank and Tenure Committee chair reminds faculty, department chairs/program directors and Deans of the impending reviews and the pertinent review dates.

July 15	<ul style="list-style-type: none"> ● Final Rank and Tenure Roster is distributed electronically. ● Rank and Tenure Committee chair gives a list of candidates to the Student Rank and Tenure Evaluation Committee, which initiates the Student Rank and Tenure process.
August 15	<ul style="list-style-type: none"> ● Rank and Tenure chair reminds all faculty that letters of evaluation for candidates for promotion to Professor or tenure are due no later than December 15. ● All candidates to be considered by the Rank and Tenure Committee for interim review, except for pre-Professor, must submit self-evaluations, together with other materials for consideration to the Rank and Tenure chair and department chairs/program directors.
September 15	<ul style="list-style-type: none"> ● Chairs/Program Directors submit letters of evaluation for candidates undergoing interim review.

October 1 - 20	<ul style="list-style-type: none"> • Deans submit letters of evaluation for all candidates for interim review to the Rank and Tenure chair: October 1 (3rd year), October 10 (4th year), October 20 (5th year). • Faculty submit letters of support and peer teaching observation letters to the candidate's file: October 1 (3rd year), October 10 (4th year), October 20 (5th year) • Rank and Tenure chair circulates to the faculty a list of complete/incomplete interim review files.
----------------	--

October 15	<ul style="list-style-type: none"> ● All candidates to be considered by the Rank and Tenure Committee for promotion, tenure, or pre-Professor review must submit Form A together with other materials for consideration to the Rank and Tenure chair and department chairs/program directors.
December 1	<ul style="list-style-type: none"> ● Chairs/program directors submit letters of evaluation of candidates for promotion, tenure, or pre-Professor review to the Rank and Tenure chair.
December 15	<ul style="list-style-type: none"> ● Faculty submit letters of evaluation of candidates for promotion, tenure, or pre-Professor review to the Rank and Tenure chair. ● The Rank and Tenure chair sends letters to all faculty who were under interim review, with copies to the candidate's dean and department chair or program director. A copy of this letter is also sent to the Provost.
January 15	<ul style="list-style-type: none"> ● Deans submit letters of evaluation of candidates for promotion, tenure, or pre-Professor review to the Rank and Tenure chair. ● The Provost sends letters to all faculty who were under interim review regarding renewal/non-renewal of contracts, with copies to the candidate's dean and department chair or program director. ● Student Rank and Tenure Evaluation Committee submits letters of evaluation of candidates for promotion and/or tenure. ● Rank and Tenure chair circulates to the faculty a list of complete/incomplete promotion, tenure, or pre-Professor review files.

March 15	<ul style="list-style-type: none"> • The Rank and Tenure chair sends letters to candidates for tenure, with copies to the candidate's dean and department chair or program director and the President. A copy of this letter is also sent to the Provost. • The Provost will inform in writing the candidates for whom he/she is considering a negative recommendation of that fact.
April 1	<ul style="list-style-type: none"> • The Provost sends letters of recommendation of candidates for tenure to the President.
May 1	<ul style="list-style-type: none"> • The President sends out letters to candidates for tenure, with copies to the candidate's dean and department chair or program director. • The Rank and Tenure chair sends out letters to candidates for promotion and pre-Professor review, with copies to the candidate's dean and department chair or program director. A copy of this letter is also sent to the Provost.
May 15	<ul style="list-style-type: none"> • The Provost sends letters of recommendation of candidates for promotion to the President, with copies to the candidate's dean and department chair or program director.
June 1	<ul style="list-style-type: none"> • The President sends letters to candidates for promotion, with copies to the candidate's dean and department chair or program director.

2.6.2.2.4 Review of Department Chairperson or Program Director

When a department chairperson or program director is scheduled to have a promotion, tenure or interim review, the Provost, appropriate School Dean and that chairperson or director will consult and select a tenured faculty member, normally from that department or program, who will serve as chairperson for the purpose of the review of that department chairperson or program director as described in section 2.6.2.2.1 (Interim Reviews Conducted by the Department/Program/School), 2.6.2.2.2 (Interim Reviews Conducted by the Rank and Tenure Committee) and 2.6.2.2.3 (Promotion and Tenure Reviews (effective July 1, 2009)).

2.6.2.3 Rank and Tenure Committee Procedures

a. Although neither the Board of Trustees nor the College administration has formally agreed to the 1940 Statement and subsequent interpretive documents and is not legally bound to adhere thereto, nonetheless, in the matter of faculty tenure, promotion, non-reappointment and termination, the Rank and Tenure Committee, the College administration and the Board of Trustees respect and in general follow, as far as local conditions pertain, the 1940 Statement of Principles and subsequent interpretive comments (1940, 1970 and 1977) of the American Association of University Professors. However, in cases where differences occur between the Saint Mary's College *Faculty Handbook* and procedures and policies of the AAUP, the Saint Mary's College *Faculty Handbook* takes precedence.

b. Confidentiality

a. The deliberations and voting of the Rank and Tenure Committee are confidential to everyone except members of the Committee, the Provost, and the President. The recommendations of the Rank and Tenure Committee will be conveyed to candidates, their chairs, and their deans by the President or the chair of the Rank and Tenure Committee. Any other discussion of any of these matters by any member of the committee is a breach of confidentiality. It is the primary responsibility of all members of the Committee to ensure

that confidentiality be maintained. Faculty members should not inquire about such confidential matters from members of the Rank and Tenure Committee.

b. While the Committee may agree to solicit additional information concerning candidates through the chair of the Rank and Tenure Committee, individual Rank and Tenure Committee members must not solicit such information. Members of the committee may, however, carry out their parallel responsibilities of contribution to the departmental review of a candidate. In doing so, they must rigorously avoid using their position as members of the Rank and Tenure Committee to sway judgments of others participating in this review.

c. The chairperson's or program director's letter and the Dean's letter setting forth their recommendations in a Rank and Tenure case will be shared with the candidate no later than the time of its submission to the Rank and Tenure Committee. The Dean, chairperson or program director, and the Rank and Tenure Committee shall not include or reference confidential materials from off-campus sources in the candidate's file in a manner which could reveal their existence or their source.

d. If a question arises concerning a breach of confidentiality or misuse of the information gathering process by a member of the Rank and Tenure Committee, the other members of the Committee should consider the matter together and take whatever action the Committee deems appropriate.

e. Other than current members of the Rank and Tenure Committee, those who have access to confidential information in Rank and Tenure files are the President, the Provost, the Dean of the School for school faculty, department chairpersons (or program directors) for department faculty (or program faculty), and the candidate undergoing the Rank and Tenure review. Starting with the 2016-2017 academic year, the only items in the confidential Rank and Tenure file that shall remain inaccessible to candidates undergoing Rank and Tenure review will be (1) individual letters from off-campus sources, (2) individual letters received during, or prior to, the 2015-2016 academic year, and (3) recommendations received from the Student Rank and Tenure Committee during, or prior to, the 2015-2016 academic year.

f. Voting

a. The Rank and Tenure Committee may conduct business with a quorum of seven members, but it endeavors to conduct business only when all nine regular members are present. Any member who has a defined role (e.g., department chair or program director) in the recommendation for a candidate shall excuse him/herself from the voting. If another member believes that he/she would not be able to cast a vote, then he/she will recuse himself/herself from the discussion and vote for that case.

b. If any member of the Rank and Tenure Committee judges that he/she has had insufficient time to read all pertinent materials of a particular case, he/she may request the case be continued to a later meeting.

c. If a member of the Committee judges that the information submitted on a candidate for promotion or tenure is insufficient, he/she may move to table the voting until the Committee believes sufficient information is available.

d. In making recommendations concerning cases involving interim review, promotion,

and/or tenure, the Committee will vote by secret ballot. Tally of votes is recorded only in the minutes.

e. A minimum of five votes, either positive or negative, are required to make a recommendation for the Rank and Tenure Committee. Only positive or negative votes shall be cast. In case of a tie vote, further discussion and a new vote will occur at the next meeting in which at least seven members are present unless the Committee decides otherwise by unanimous consent.

- g. The Rank and Tenure Committee endeavors to complete its recommendations by the last day of classes in May.

2.6.2.4 Student Rank and Tenure Committee Procedures

1. By July 15 of each year, the Provost shall present to the Student Rank and Tenure Committee chairperson the names of undergraduate faculty members of the Schools of Liberal Arts, Science, and Economics and Business Administration, who will be considered for promotion and tenure review during that year.
2. The Student Rank and Tenure Committee chairperson meets with the Rank and Tenure Committee at the latter's organizational meeting in the fall term to present a description of the student committee's techniques for evaluating and recommending candidates for tenure and promotion.
3. Members of the Student Rank and Tenure Committee will endeavor to distribute teaching evaluation forms during the fall term in the classes of candidates for promotion and tenure. Members of the Student Rank and Tenure Committee will be given access through the Office of Academic Affairs to the previous spring teaching evaluation forms for all such candidates.
4. The Student Rank and Tenure Committee presents formal written recommendations on promotion and tenure to the Rank and Tenure Committee no later than January 15.
5. During the Spring Term, members of the Student Rank and Tenure Committee assist the Office of Academic Affairs staff in conducting course evaluations for those instructors potentially under review by the Faculty Rank and Tenure Committee the following academic year.

2.6.2.5 Recommendation and Decision Procedures

Interim Review

1. All interim review decisions of the Rank and Tenure Committee, whether positive or negative, are recommendations to the Provost and go first to the Provost for consideration before a final decision regarding reappointment is made. (See section 2.8.3.1 Notice of Non-reappointment of Probationary Tenure-Track Faculty for additional information regarding negative decisions.)
 - a. When the Provost has reached a decision, the candidate receives both the letter of the Rank and Tenure Committee, signed by its chair, and a letter signed by the Provost announcing that decision, with a copy to the faculty member's Dean and department chair or program director.

- b. Each group of interim letters (e.g., fourth-year review) should go out to individual faculty members at the same time.

Tenure

1. All decisions on tenure by the Rank and Tenure Committee, whether positive or negative, are recommendations to the President, who grants or denies tenure.
 - a. When a positive decision has been made by the Rank and Tenure Committee, the Chair sends a letter to the candidate, with a copy to the candidate's dean and department chair or program director and the President, and a copy to the Provost for consideration.
 - b. When the Provost's decision is also positive, the letter from the Rank and Tenure Committee chair and a letter stating the Provost's agreement are forwarded together to the President.
 - c. When the Provost is considering rendering a negative decision, the Provost shall inform the candidate in writing. If the candidate so desires, the Provost shall discuss the basis for the negative decision with the candidate.
 - i. The candidate shall have fifteen (15) working days from the date of posting of certified mail from the Provost to submit to the Provost his/her written response to the negative decision, including any additional materials for consideration.
 - ii. After receiving the candidate's reply, or after the allotted time for the candidate's reply has passed, whichever comes first, the Academic Provost will then make a formal decision and write a letter to the President.
 - iii. The Provost will send that letter together with the letter from the Rank and Tenure Committee and any timely response from the candidate (including additional materials for consideration) directly to the President at the same time.
 - d. When a negative tenure decision has been made by the Rank and Tenure Committee, the Chair of the Committee shall inform the candidate in writing of its recommendation against tenure, copying that letter to the President, the candidate's dean and department chair or program director, and send that letter to the Provost for consideration.
 - i. The candidate shall have fifteen (15) working days from the date of posting of certified mail from the chair of the Rank and Tenure Committee to submit to the Provost his/her written response to the decision, including additional materials for consideration.
 - ii. After the allotted period of time for the candidate's reply has passed, or a reply has been received, whichever occurs first, the Provost will make a decision.
 - i. The Provost will convey the decision in a letter to the President, which will be forwarded at the same time as any timely response (including additional materials) from the candidate, and the letter from the Rank and Tenure Committee, signed by the chair.

2. Upon receipt of the recommendations and the candidate's written response (if timely made) the President of the College shall review the recommendations and the candidate's written response and make the final decision as to the granting or denial of tenure.
3. If the President disagrees with the recommendations of the Rank and Tenure Committee and/or the Provost to grant tenure in a tenure consideration, the President will meet with the Rank and Tenure Committee or, if his disagreement is with the Provost alone, with the Provost, to discuss the case. If, after such meeting and discussion, the President still disagrees with the recommendation(s) in a case where the President intends to deny tenure, the President shall inform the faculty member in writing of the President's decision to deny tenure and will inform the candidate of the recommendations of both the Rank and Tenure Committee and the Provost. If the faculty member so requests, the President will give (the) reasons for denial of tenure orally, in person or by telephone, to the faculty member. If the faculty member so requests, the President will give the faculty member a written statement of the reasons for denial of tenure.
4. The President will inform all candidates in writing of his decision to grant or deny tenure. To the extent possible, notification to the candidates of tenure decisions will be made at approximately the same time. In all cases where the President's decision is to deny tenure, the President shall inform the candidate in writing of the President's decision and the recommendation (to recommend or deny) of the Rank and Tenure Committee, and the recommendation (to recommend or deny) of the Provost.
5. Following notification to the candidate of the President's decision, the candidate may appeal the President's decision to deny tenure according to the Appeal Procedures.

Promotion

All decisions on promotion by the Rank and Tenure Committee, whether positive or negative, are advisory to the President, but are sent first to the Provost for consideration. When the deliberations of the Rank and Tenure Committee are completed, the Rank and Tenure Chair sends a letter announcing its recommendation to the candidate and a copy of that letter to the Provost. The Provost arrives at a separate decision, based on a review of the evidence gathered in the formal Rank and Tenure process and any new materials submitted by the candidate after the Rank and Tenure Committee decision. The Provost will indicate in writing to the President whether s/he concurs with the recommendation of the Rank and Tenure Committee and forward to the President both that written concurrence and the letter from the Rank and Tenure Committee. If the Provost does not concur with the recommendation of the Rank and Tenure Committee, s/he will write a separate letter and forward this to the President along with the letter from the Rank and Tenure Committee. The President shall make his decision based on the stated *Faculty Handbook* criteria for promotion and tenure, after reviewing the evidence gathered in the formal Rank and Tenure process and any additional materials submitted by the candidate to the Provost pursuant to notification of a negative Rank and Tenure Committee or Provost's decision.

2.6.3 ADVANCEMENT, TENURE AND PROMOTION OF ACADEMIC ADMINISTRATORS

1. Academic administrators with faculty rank are those who meet the following criteria:
 - a. Regular faculty status, granted according to the same standards that apply to other members of the faculty.

- b. Administrative duties of a genuinely academic character, that is, directly concerned with the academic program or with the academic preparation of students (e.g., President, Provost, Vice Provost for Undergraduate Academics, Vice Provost for Graduate and Professional Studies, Dean of a School).
2. In disputed cases, the Rank and Tenure Committee should determine whether an individual administrator meets both of these criteria.
 3. Academic administrators with faculty rank are considered in the same category as full-time faculty members for purposes of tenure and promotion, even though their teaching duties may be part-time or may be interrupted entirely by administrative duties. Like other faculty members, they progress one step within rank each year.
 4. With regard to promotion and tenure, the same procedures should be followed as far as possible for academic administrators as for other members of the faculty.
 5. The Provost, Vice Provost for Undergraduate Academics and Vice Provost for Graduate and Professional Studies will be reviewed by the Rank and Tenure Committee. The committee shall use its discretion in finding means to conduct the fullest possible evaluation, including personal interview with the candidate. Recommendation should be made by the chairperson of the Academic Senate to the President of the College.
 6. Promotion and the granting of tenure to academic administrators should be governed by the same criteria that are applied to other faculty members (with the exception that the academic administrator is regarded as full-time regardless of the extent of his/her teaching duties).
 7. The Rank and Tenure Committee makes no recommendation directly on the appointment and retention of academic administrators who are appointed in their administrative capacity by the President of the College. It does make recommendations on their rank and promotion and tenure.